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Attendees

UNOLS Meeting - November 16-17, 1971 - Scripps Institution of Oceanography

✓ = paid money - 10

UNOLS mtg  
12/15/71

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Names not showing

Robt. Worsing (OCEANAV) (2nd day)

~~Jeff Frostberg~~

George Shur

1. Nothing that funding for new research vessels may result in reducing the total capability of the Nation's academic research fleet in terms of numbers of ships and adequate operating funds, and  
Further Noting that the UNOLS concept through the development of a broader range of users may have the effect of increasing the demands on an already overtaxed ship operating schedule,  
Urges that priority attention be given to maintaining and improving the existing capability of the UNOLS fleet.

2. Considering the goals and objectives of UNOLS and the need for a wide range and balance of expert advisory bodies, and  
Recognizing the efforts and common interests of the Research Vessel Operators' Council (RVOC),  
Recommends that RVOC become a sub-body of the UNOLS organization for a trial period of one year and at the end of which time the arrangement shall be reviewed and renewed as appropriate, and  
Invites the agreement by RVOC to the foregoing and to participation by RVOC within the framework of UNOLS.

3. Complying with the UNOLS charter concerning the composition and selection of the UNOLS Advisory Council, and  
Considering a list of nominees made in open session,  
Elects the following individuals to the UNOLS Advisory Council for the terms indicated:

John V. Byrne, Oregon State Univ., 3-years  
John P. Craven, Univ. Hawaii, 3-years  
Charles L. Drake, Dartmouth College, 3-years  
David W. Menzel, Skidaway Institute, 2-years  
Robert A. Ragotzkie, Univ. Wisconsin, 1-year  
Henry M. Stommel, M. I. T., 2-years  
Warren S. Wooster, Scripps Institution, 1-year

4. Recognizing that consideration of specialized facilities is a function of the UNOLS Advisory Council under the terms of its charter, and  
Having identified the following specialized facilities which may be needed in the national interests, viz: coastal research ships, aircraft, radio stations, bathythermograph facilities, technicians pools, submersibles, stable platforms and standardized bases and depots,  
Calls upon the Advisory Council to give early attention to these specialized facilities.

vi. It was generally agreed that information on the larger "UNOLS vessels" (over 65 feet) was developing but a real need existed for information on coastal-type vessels 65 feet and under. Presently only about five craft have direct Federal support although many others are indirectly supported from Federal funds or Sea Grant supported. It was decided that information on these kind would be developed on a regional basis possibly using regional organizations.

vii. A subject which aroused common interest was the capability of the university research fleet and its future. Concern was expressed over two developing situations:

- new research vessel construction, although urgently needed, might result in a reduction in the total numbers of ships.

- the developing broader base of users for the existing, or even reduced, fleet size would have the ironic effect of diminishing the available ship time per individual investigator.

It was agreed that this should be a priority matter for Advisory Council attention.

viii. Additional discussions including participation by Federal Agency representatives indicated that UNOLS is being looked to by the Federal Government for:

- the establishment of criteria for effective ship utilization.

- the setting of priorities in the allocation of Federal shipbuilding and operating funds.

This role will fall chiefly to the Advisory Council.

ix. A number of institutions present singled out as an important need a coastal research vessel of which blocks of time could be made available to their institutions. Such a vessel it was envisioned should be from 100-120' long and accommodate standardized modules.

x. Regarding specialized facilities other than a coastal research vessel, the meeting identified the following areas for early attention and recommendations by the Advisory Council:

- Aircraft
- Radio Stations
- Bathythermograph Facilities
- Standardized Depots & Bases
- Technicians Pools
- Submersibles
- Stable Platforms

i. The meeting was attended by sixty-eight participants representing thirty-six academic institutions and seven Federal agencies.

ii. The UNOLS Advisory Council was selected from a list of forty nominees. Those selected, together with their terms of office, were:

- John V. Byrne, Oregon State Univ., 3-years
- John P. Craven, Univ. Hawaii, 3-years
- Charles L. Drake, Dartmouth College, 3-years
- David W. Menzel, Skidaway Institute, 2-years
- Robert A. Ragotzkie, Univ. Wisconsin, 1-year
- Henry M. Stommel, M. I. T., 2-years
- Warren S. Wooster, Scripps Institution, 1-year

The newly formed Advisory Council agreed to hold its first meeting on December 6th at San Francisco.

iii. In keeping with the guidelines set forth at the establishment of UNOLS, the initial focus and principal subject dealt with at the meeting was research ships. Specialized facilities, however, were included within the scope of the proceedings.

iv. Ship schedules for 1972 of the twenty-seven UNOLS vessels over 65 feet were displayed together and ship operators described in detail the scientific programs and cruises for each of the ships. This probably marks the first time that such an effort has been mounted and had the following results:

- Information and liaison was established between ship programs having areas of common interest.

- two research projects needing ship time were accommodated "on the floor". Information on other potential ship time was made available to investigators.

v. Considerable discussion was generated amongst the participants as to the precise role of UNOLS in coordinating research ship schedules. Alternatives ranged from an information service only to mandatory blocks of time assigned to and for UNOLS central action. A decision was deferred pending identification and analysis of the total needs for ship time by type and area. This to be accomplished by the UNOLS Office in the form of questionnaires and fact finding.

made in context with the previously agreed upon schedule). The planned schedules should be forwarded to the UNOLS Office by 1 July. The UNOLS Office will furnish funding agencies with copies; the agencies can then review all schedules prior to consideration of funding for the next year. These schedules, along with the research programs, should be the basis for the laboratory proposals to the funding agencies. Further, the UNOLS Office will circulate the final schedules to all interested parties. Schedule revisions will be submitted promptly to the UNOLS Office, which will develop an appropriate calendar for revision and distribution of fleet schedules based on the advice of the UNOLS Advisory Council, membership and the principal funding agencies.

6. The procedures set forth in this Annex shall terminate at the end of one year at which time they shall be reviewed, modified or readopted as necessary.

Approved and adopted at the UNOLS organization meeting on September 22, 1971.

Subsequent to the coordination meeting, each operating laboratory will develop a ship schedule for the following year. (Again, it must be recognized that this schedule will have to be revised continually to accommodate vagaries in ship's operating problems as well as changes in scientific programs. These changes will be the responsibility of the operating laboratory, but will be

To the extent that all requirements will not be accommodated. Records of these carry-over requirements will be kept by the UNOLS Office and communicated to the ship-operating institutions for consideration during the formulation of tentative schedules the following year and, if necessary, to the subsequent ship scheduling conference.

5.

The UNOLS Office will collate the various tentative schedules and distribute these to members of UNOLS and widely to other interested institutions and scientists having Federally funded oceanographic research programs. After these schedules have had appropriate distribution and sufficient time has elapsed for interested parties to submit to the UNOLS Office requests for time on specific cruises, a meeting of representatives of UNOLS members will be convened by the UNOLS Chairman for the purpose of coordinating ship schedules and accommodating as many additional requests as possible. One meeting will be held for each of the operating areas mentioned above. In general, one representative from each member institution will attend, with a provision for adequate direct communications to his home laboratory. Other scientists and laboratories not members of UNOLS but who have indicated their requirements for work at sea in the area under discussion may also attend and discuss their interests at the meeting if they so elect. This meeting should be convened no later than mid-May. The objective of the meeting is to compare the various schedules, to modify them as desirable in order to achieve more effective use of ships, and to incorporate as many as possible of the requirements that could not be integrated in earlier schedules.

4.

tentative schedule should incorporate as broad an input as possible, both from within and without the operating institution. Further, the schedule at this stage must be considered as tentative; it is recognized that factors such as funding, logistics, weather, geography and research programs will provide many constraints. This tentative schedule should be formulated in January and February and should include operations proposed for the next calendar year and for as much of the subsequent year as possible. A copy of this tentative schedule should be forwarded to the UNOLS Office no later than 1 March.

ANNEX I

to the

Charter

UNIVERSITY-NATIONAL OCEANOGRAPHIC LABORATORY SYSTEM

A PROCEDURE FOR COORDINATING SHIP SCHEDULES

1. An important facet of the UNOLS activities is the provision of a mechanism to coordinate the use of available facilities. The coordination of ship schedules is the most obvious area where immediate benefit might be gained. An underlying principle of the UNOLS is that control of facility operations and scheduling remain the responsibility of the operating institution with the understanding that reasonable efforts will be made to provide services to scheduled users. It will be a responsibility of the UNOLS Advisory Council to assess and report on the effectiveness of facility utilization. Within this framework, the following procedure shall apply for the coordination of ship schedules.
2. Three operating areas, each having a separate schedule coordination meeting, are designated to simplify the procedures. These are for the convenience of reducing the number of ship schedules to consider at one time, and in no way are they meant to restrict the area of operation of any ship, institution, scientist or group. In many cases, representatives of member institutions or individual scientists will attend more than one of the scheduling meetings. The operating areas are defined as:
  - (a) OPEN OCEAN - 500 miles or more offshore or when the ship makes calls at non-continental U. S. ports (including Hawaii and other U. S. oceanic islands);
  - (b) EAST COAST - less than 500 miles off the east coast of the U. S., including the Gulf of Mexico and the Great Lakes; in general, when ships operate from U. S. ports;
  - (c) WEST COAST - less than 500 miles off the west coast of the U. S., including the Gulf of Alaska (but not Hawaii); in general, when ships operate from U. S. ports.
3. As an initial step each laboratory responsible for the operation of one or more ships will develop a tentative schedule for its ships. This

Both the Director, NSF, and the Assistant Secretary of the Navy (Financial Management) agreed on the need for a uniform method for institutions to allocate vessel operating costs to research projects sponsored by Federal agencies. The Assistant Secretary noted that the obstacles to arriving at a solution stemmed more from variations in practices of grantee institutions than differences between NSF and the Navy and stated that steps would be initiated to study the matter with NSF. The Director, NSF, advised us that, in cooperation with ONR, the institutions would be requested to work out reasonable changes in their cost allocation procedures.

In view of the different cost allocation methods used by oceanographic institutions, we recommend that the Director, NSF, in cooperation with the Secretary of the Navy, prescribe a uniform method of allocating research vessel operating costs to federally sponsored research projects, that would result in more representative cost allocations to individual projects and in an equitable distribution of costs between funding agencies.

Recommendation to the Director, NSF,  
and the Secretary of the Navy

availability of funds from the several funding agencies, rather than on the basis of projects undertaken.

NEED FOR UNIFORM AND EQUITABLE METHOD OF ALLOCATING RESEARCH VESSEL OPERATING COSTS

At the three oceanographic institutions included in our review, we found that each institution was using a different method of allocating research vessel operating costs to federally supported research projects. NSF and the other agencies supporting oceanographic research had not prescribed a uniform method of allocating costs so that the research projects benefiting from the use of research vessels would be charged on an equitable basis for the applicable vessel operating costs.

Woods Hole allocated its vessel operating costs only to those Federal grants or contracts which financed the projects undertaken by the chief scientist for whom a particular voyage had been arranged. Any projects undertaken by other scientists or technicians participating in the same voyage but working on research studies which were not a part of the chief scientist's projects were not charged a share of the costs of the voyage. This method of allocating costs tends to overstate the costs of the chief scientist's projects and to understate the costs of other research projects.

The Institute of Marine Science allocated its vessel operating costs to research projects on the basis of number of days a vessel was used for the benefit of one or more research projects, as determined by the scientists in charge of the projects and participating in the voyage. This method presupposed that an accurate vessel log was maintained for each voyage which would identify the projects being worked on each day of the voyage.

At Lamont-Doherty, we found that vessel logs were not maintained in a manner which would identify the projects being undertaken, nor the grants or contracts under which the projects were financed. Officials of Lamont-Doherty informed us that studies or experiments undertaken during a voyage were often multipurpose in nature and benefited more than one research project and possibly more than one funding agency. They stated, however, that, because the vessel logs did not identify the projects undertaken, the operating costs were generally allocated on the basis of the

project or institution cannot justify their acquisition, and often the facilities should be available to the academic oceanographic community as a whole. Requirements for specialized facilities are often identified by scientists themselves. It is likely that in the course of coordinating meetings or meetings of the UNOLS Advisory Council, these specialized requirements and ideas for new facilities will be aired and catalyzed. Recommendations so generated by the scientific community can then be made to the funding agencies via the Advisory Council. Likewise, the availability of specialized facilities can be communicated to the academic oceanographic community through the efforts of the UNOLS. "

It has become increasingly apparent that specialized facilities will play a real role in UNOLS efforts. The NSF Budget is shaping to provide for these as distinguished from ship support alone. UNOLS may wish to identify and agree on specialized facilities which should receive early attention. Types of specialized facilities which have been proposed are technician pools, specialized data processing, submersible facilities (East Coast and West Coast), University Bathythermograph Facilities, buoy facilities, etc. Should certain facilities be tentatively identified, members may wish to set up ad hoc task teams to study the concept in depth and report to the Advisory Council or to the UNOLS Membership.

#### 10. Ship Schedule Coordinating Exercise :

(a) A procedure for coordinating ship schedules is contained in Annex I to the UNOLS Charter. This is reproduced in Attachment 5. It should be apparent that this first meeting has not had the time to effect the full procedures set forth. For this reason it is termed an "Exercise". However, the experience gained at this meeting should be of great value to the first full cycle. The consolidated ship schedule is reproduced on Attachment 6 and will serve as the basis for the schedule efforts. Shown on the schedule are UNOLS ships over 65-ft only. The premise for this is that craft under 65-ft are more institutional type boats whose schedules do not and should not allow themselves to be fixed so far in advance. A break point at 65-ft for "UNOLS Vessels" appears desirable from several other viewpoints. UNOLS Members and participants may wish to discuss this.

(b) An important part of the ship schedule coordination efforts of UNOLS is the accommodation of requests by investigators from other institutions. While Annex I to the Charter gives broad guidelines, members may wish to discuss in greater detail more precise procedures for receiving and accommodating requests from the standpoint of standard practices at their institutions. Any guidance would be of help to the UNOLS Office and would serve to prevent misunderstandings and futile efforts. Members are invited to discuss these in open session or to communicate particular information direct to the Executive Secretary.

istrative levels beyond the purview of UNOLS. Members may wish to discuss this matter and agree to guidelines with which to address this particularly difficult item. Such an evaluation falls under the Charter to the Advisory Council and UNOLS may wish to charge this to the Advisory Council for early attention.

(c) Uniform Cost Accounting was one of several subjects of a GAO Report to the National Science Foundation and to the Office of Naval Research. Most members are familiar with this report and its recommendations which were made available in part by NSF. A joint task force of NSF and ONR has been formed to review cost accounting procedures and develop a uniform equitable method of allocating research vessel operating costs. Members may wish to take note of this and agree on guidelines for UNOLS in interacting with these developing procedures. An excerpt of the GAO report on this subject is appended as Attachment 1.

8. Federal Ship Support and Replacement:

(a) Support for ship operations is shown graphically in Attachment 2 for the years 1963-1972, and profiles for years 1971 and 1972 are presented in Attachments 3 and 4. Members may wish to examine these data and comment on how these figures compare to the total budgets and costs of their institutions.

(b) A report by the Council of Laboratory Directors (COLD) in 1970 addressed the ship needs of academic laboratories. With the exception of some specialized efforts of OAB and RVO, no mechanism is operating to update and expand on the ship requirement and replacement problem. Once again, it would appear that such a charge would fall to the Advisory Council. UNOLS may wish to give some specific guidance to the Advisory Council on this important matter. A review of Navy shipbuilding programs shows no new ships planned for academic laboratories when the AGOR Utility Class are delivered to Hawaii and Texas A&M respectively. NSF has one new ship building (170-ft) for Miami and one ship in its 1972 Budget.

(c) University Institution Needs both short term and long term are expanded subjects related to (b) above. Members may again wish to give direction on this matter for early Advisory Council attention.

9. Specialized Facilities : Regarding specialized and unique facilities, the UNOLS Charter states:

Coordination of other facilities will develop as the need becomes apparent. As oceanography has become more mature and sophisticated, requirements for facilities have become more varied and, in particular, specialized facilities, e.g., deep sea drilling ship, submersible and tender, aircraft, communication stations, automatic data processing and other highly specialized equipment (both shipboard and shore). Some of these facilities are so expensive that a single research

4. Goals of UNOLS : It has become apparent that the purposes of UNOLS

have different meanings or at least different emphases when viewed by the various university facility operators, managers and users, and potential operators, managers and users. A synthesis of views reveals three main goals: (a) Coordinated utilization of facilities (mostly ships), (b) Assessment and planning for all facilities, and (c) Improved support for University institutions. Members may wish to comment on each of these and give their views of the efforts of UNOLS in each of the foregoing areas. The result should be a general agreement on the role of UNOLS and guidelines for UNOLS direction and undertakings.

Under this topic, Dean Craven of the Univ. of Hawaii will briefly describe how facilities under way at Hawaii may relate to UNOLS. Dr. Correll has been asked to do the same from the viewpoint of the Univ. of New Hampshire. Other participants may wish to describe the particular relationship of their Institution to UNOLS.

5. Role of UNOLS with other organizations and programs: The various activities indicate here were selected for discussion on how they, and others, may interrelate with UNOLS. A discussion and certain decisions should further the development of the total role of UNOLS.

(a) The National Academy of Sciences Ocean Affairs Board participated in the plan for the development for UNOLS, and its Ocean Science Committee and Facilities Utilization Panel have missions and interests which directly relate to UNOLS. The Ocean Science Committee has asked Prof. Henry Stommel of MIT to represent it at this meeting. Members may wish to identify the relationship which UNOLS should have with OAB and its sub-bodies.

(b) The National Advisory Council on the Oceans and Atmosphere is only now being formed. Dr. Nierenberg of Scripps is its Chairman. As originally envisioned by the Stratton Commission, NAOA is to report to the President and to Congress on the progress of government and private programs in achieving the objectives of the National Ocean Program. While it is too early to assess the interaction of NAOA with UNOLS, some sort of interaction appears inevitable.

(c) The International Decade of Ocean Exploration is a program in which many UNOLS members are heavily engaged and committed. Funding for UNOLS facilities comes, in part, from IDOE funds. Members may wish to identify in what manner UNOLS can further support IDOE - such as consolidated vessel clearances and cruise planning and distribution of results. The Environmental Data Service may wish to signify how it sees UNOLS efforts in the exchange and archiving of data.

(d) The Council of Laboratory Directors has many objectives which nearly duplicate UNOLS. By the terms of its Charter, COLD may have terminated.

(e) The Sea Grant Program is a major source of funds for many University laboratories and often UNOLS facilities are employed in Sea Grant Projects. However, by statute, Sea Grant Funds are not used to acquire ship facilities. Sea Grant, therefore, remains somewhat different from the traditional funding agencies such as NSF and ONR. Its potential for the future, however, might be viewed and discussed. Dr. Hugh McClellan is the Sea Grant Program observer to UNOLS and to this meeting.

UNIVERSITY-NATIONAL OCEANOGRAPHIC LABORATORY SYSTEM  
(UNOLS)  
FIRST ANNUAL OPEN SESSION - NOVEMBER 16 - 17, 1971

Annotated Agenda

1. Adoption of Agenda Notice of this meeting was first circulated on Oct. 1st and the Agenda on October 18th. Before its adoption Members may amend or add to this agenda. Under the terms of the Charter a vote on any item not on the circulated agenda must be decided by an absolute majority of all members.

2. Introduction:

(a) The development of UNOLS traces back to the Stratton Commission Report "Our Nation and the Sea" which recommended "University-National Laboratories to be "Centers of Excellence" and which would be adequately funded by the Federal Government. This was further studied by a Panel of the National Council on Marine Resources and Engineering Development which recommended that certain existing major oceanographic laboratories be designated "National Oceanographic Laboratories" (NOLS) and whose facilities would be supported by a Federal Agency and be available to all competent oceanographers. In 1970 the National Science Foundation proposed the implementation of a NOLS type arrangement and there followed a years study and development of a plan by a working group representing both University and Federal interests. At a large scale meeting on Sept. 1st 1971 the plan, representing essentially the present arrangement of UNOLS was approved. The organization came into being on Sept. 22, 1971, when a charter was adopted by representatives of eighteen university laboratories.

(b) The purpose of this meeting includes the statutory discharge that there be an annual open meeting for the purpose of electing an Advisory Council and for the coordination of ship schedules. This meeting also will serve to provide the emphases and direction that UNOLS efforts, in addition to ship scheduling, might be guided. This may include charges to the newly formed Advisory Council as well as the identification of specialized facilities for UNOLS consideration.

3. Report by Executive Secretary: The UNOLS Office commenced to function on September 22nd with the adoption of the Charter. The Office is being operated at Woods Hole by the Institution under a grant from the National Science Foundation. The UNOLS Executive Secretary and future clerk-typist are assigned full time to UNOLS activities. The activities of the Office to date have largely been in quest of information and in establishing contacts and lines of communication.

To date 15 of the 18 Charter Members have designated individuals as their UNOLS representatives. Almost all members have provided the UNOLS Office with copies of their ship support proposals and operating schedules as an initial data base. Additional information on ships and operating data has been kindly furnished by the National Science Foundation, Office of Naval Research, and Oceanographer of the Navy thereby obviating the need to request duplicative reports from the Universities.

The UNOLS Office so far has received several requests for ship time from investigators, but not a flood of requests. Attempts are being made to accommodate these as well as set up procedures for handling future requests which probably will increase.